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## UTILITY **PATENT APPLICATION TRANSMITTAL**

Attorn	ey Docket No.	PAT013	
		Baillargeon et al.	
Title	VCSEL Assembly with Edge-Receiving		

Attorn	ney Docket No.	PAT013		
First Inventor Baillargeon et al.		Baillargeon et al.		
Title	VCSEL Assem	bly with Edge-Receiving		
	ss Mail Label No	`		

APPLICATION ELEMENTS  See MPEP chapter 600 concerning (utility patent application contents.  ADDRESS TO: Assistant Commissioner for Patents Box Patent Application (Washington, DC 20231  7.	(Unity for new honprovision	nai applications under 37 CFR 1.53(b))	Expres	S Mail Label No.   -		71701	<u> </u>
See MFEP chapter 600 concerning utility patent application contents.	APPLICA	TION ELEMENTS	ADI	ADEAA TA			
Computer Program (Appendix)  2. X Applicant claims small entity status. See 37 CFR 1.27.  3. X Specification  Descriptive title of the invention  Cross Reference to Related Applications  Statement Regarding Fed sponsored R & D. Reference to sequence listing, a table, or a computer program Isting appendix  Background of the Invention  Brief Description  Detailed Description  Claim(s)  Abstract of the Disclosure  A. X Drawing(s) (35 U.S.C. 113) [ Total Sheets 5 ]  S. Newly executed (original or copy)  Detailed Description a prior application (37 CFR 1.33 (d))  (for continuation/divisional with Box 18 completed)  I. DELETION OF INVENTOR(S) Signed statement atlathed deleting inventor(s) named in the prior application, see 37 CFR  Detailed Total Pages 3   1.53 (d) 2 and 1.34 (b).  To prior a prior application, see 37 CFR 1.76  Application Data Sheet under 37 CFR 1.76  B. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76  B. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76  Continuation Devices a part of the disclosure of the accompanying continuation or or brief prior and provided proper and the prior application parts.  Detail To provide a part of the disclosure of the accompanying continuation or or or brief prior application parts.  Detail To provide a part of the disclosure of the accompanying continuation or or divisional application parts.  Detail To provide a part of the disclosure of the accompanying continuation or or divisional application parts.  Detail To provide a part of the disclosure of the accompanying continuation or or divisional application parts.  Detail To provide a part of the disclosure of the accompanying continuation or or divisional application parts.  Detail Total Pages 2 Corticus of the prior application parts.  Detail Total Pages 2 Cort	See MPEP chapter 600 cond	cerning utility patent application contents.	:				
Applicant calms small entity status.  Sepecification Specification Cross Reference to Related Applications - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to requence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summany of the Invention Summany of the Invention Summany of	Fee Transmittal F	orm (e.g., PTO/SB/17)	7.				e table or
See 37 CFR 1.27.    See 37 CFR 1.27.			0.1				
3. X   Specification   Total Pages   22   1   22   1   22   1   23   24   24   25   25   25   25   25   25						ence S	upmission
- Cross Reference to Related Applications - Statement Regarding Fed sponsored R 8 D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the invention - Brief Description of the Drawings (if filed) - Detailed Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure - Total Pages - Tota			а.	<del></del>	, ,	CRF)	
- Statement Regarding Fed sponsored R&D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Claim(s) - Abstract of the Disclosure  4.			b.	Specification Sequence	Listing o	n:	
or a computer program listing appendix  Background of the Invention  Brief Summary of the Invention  Brief Description of the Drawings (if filed)  Detailed Description  Accompanying Application Parts  10. Assignment Papers (cover sheet & document(s))  Accompanying Application Parts  9. Assignment Papers (cover sheet & document(s))  10. Assignment Papers (cover sheet & document(s))  11. English Translation Document (if applicable)  12. Statement (DS)PTO-1449  13. Preliminary Amendment  14. Return Receipt Postcard (MPEP 503)  15. Og the or price pr				i. 🔲 CD-ROM d	or CD-R (2	2 copie	s); or
or a computer program listing appendix  Background of the Invention  Brief Summary of the Invention  Brief Description of the Drawings (if filed)  Detailed Description  Claim(s)  Abstract of the Disclosure  A. Image: Abstract of the Disclosure  Alternative in Amstraction Disc				ii. 🔲 paper			
- Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure  4.			C.		ing identit	y of ab	ove copies
- Detailed Description - Claim(s) - Abstract of the Disclosure  4.	- Brief Summary	of the Invention		<u> </u>			
- Claim(s) - Abstract of the Disclosure  4. X Drawing(s) (35 U.S.C. 113) [ Total Sheets 5 ] 5. Oath or Declaration [ Total Pages 3 ] 6. Newly executed (original or copy) 6. DELETION OF INVENTOR(S) 6. Signed statement attached deleting inventor(s) 6. Application Data Sheet. See 37 CFR 1.76  18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application in Data Sheet under 37 CFR 1.76:  18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:  18. If a CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, its considered a part of the disclosure of the accompanying continuation and harden and the declaration is supplied under Box 5b, its considered a part of the disclosure of the accompanying continuation or box and only be relied upon when a portion has been inadvertently omitted from the submitted application parts.  19. CORRESSONDENCE ADDRESS    X Customer Number or Bar Code Lebel							
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5. Oath or Declaration [Total Pages 3] ]  a. X Newly executed (original or copy) b. Copy from a prior application (37 CFR 1.63 (d)) c. Copy from a prior application (37 CFR 1.63 (d)) c. Copy from a prior application (37 CFR 1.63 (d)) c. Copy from a prior application (37 CFR 1.63 (d)) c. Copy from a prior application with Box 18 completed) c. Copy from a prior application with Box 18 completed) c. Copy from a prior application with Box 18 completed) c. Certified Copy of Priority Document(s) c. Certified Copy c. Certified Co	4. X Drawing(s) (35 U	I.S.C. 113) [Total Sheets 5]	11.	<del></del> ) '	• ,		pplicable)
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16.   Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(f), Applicant must attach form PTO/SB/35 or its equivalent.			15.		•	•	nt(s)
1.63(d)(2) and 1.33(b).  6. Application Data Sheet. See 37 CFR 1.76  18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:    Continuation   Divisional   X   Continuation-in-part (CIP)   of prior application No   09 , 757,061			ا مدا				
6. Application Data Sheet. See 37 CFR 1.76  17. Other:  18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:  Continuation Divisional Continuation:  Prior application information:  Examiner Unassigned Group An Unit: 2881  For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an eath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.  19, CORRESPONDENCE ADDRESS  X Customer Number or Bar Code Label (Insert Customer Number or Bar Code Lab			116.[	(b)(2)(B)(i). Applic			
or in an Application Data Sheet under 37 CFR 1.76:  Continuation Divisional Continuation-in-part (CIP) of prior application No.: 09 , 757,061  Prior application information: Examiner Unassigned Group Art Unit: 2881  For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.  19 CORRESPONDENCE ADDRESS  X Customer Number or Bar Code Label (Insortement Label	6. Application Data	Sheet. See 37 CFR 1.76	17.			•••••	
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X Customer Number or Bar Code Lebel  (Inscriction of Correspondence address below)  Name  27543  PATENT_TRADEMARK OFFICE  Address  City  State  Zip Code  Country  Telephone  Fax							ated by reference.
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City State Zip Code Country Telephone Fax		PATENT_TRADEMARK OFF	ICE				
City State Zip Code Country Telephone Fax	Address						
	City		State		Zip C	ode	
Name (Print/Type)  N. Stephan Kinsella  Registration No. (Attorney/Agent) 37,657  Signature  Date 5/15/01	Country	Tele	phone		Fa	x	
Signature 7. / /// Date 5/15/01	Name (Print/Type)	N. Stephan Kinsella	Reg	istration No. (Attorne	y/Agent)	37	,657
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## **FEE TRANSMITTAL** for FY 2001

Patent fees are subject to annual revision.

<b>TOTAL</b>	AMOU	UNT OF	<b>PAYMENT</b>	
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(\$) 678.00

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Complete if Known			
Application Number			
Filing Date			
First Named Inventor	Baillargeon et al.		
Examiner Name			
Group Art Unit			
Attorney Docket No.	PAT013		

METHOD OF PAYMENT	FEE CALCULATION (continued)			
1. X The Commissioner is hereby authorized to charge indicated fees and credit any overnayments to:	3. ADDITIONAL FEES			
Deposit Deposit	Large Small Entity Entity			
Account Number 50-1705		Fee Paid		
Deposit	Code (\$) Code (\$)			
Account Name Applied Optoelectronics, Inc.	105 130 205 65 Surcharge - late filing fee or oath			
Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17	127 50 227 25 Surcharge - late provisional filing fee or cover sheet			
Applicant claims small entity status.	139 130 139 130 Non-English specification			
— See 37 CFR 1.27	147 2,520 147 2,520 For filing a request for ex parte reexamination			
2. Payment Enclosed:	112 920* 112 920* Requesting publication of SiR prior to Examiner action			
Check Credit card Morley Other	113 1,840* 113 1,840* Requesting publication of SIR after			
FEE CALCULATION	Examiner action —			
1. BASIC FILING FEE	115 110 215 55 Extension for reply within first month			
Large Entity Small Entity	116 390 216 195 Extension for reply within second month			
Fee Fee Fee Fee Description Code (\$) Code (\$) Fee Paid	117 890 217 445 Extension for reply within third month			
101 710 201 355 Utility filing fee 355	118 1,390 218 695 Extension for reply within fourth month	<del></del>		
106 320 206 160 Design filing fee	128 1,890 228 945 Extension for reply within fifth month			
107 490 207 245 Plant filing fee	119 310 219 155 Notice of Appeal			
108 710 208 355 Reissue filing fee	120 310 220 155 Filing a brief in support of an appeal			
114 150 214 75 Provisional filing fee	121 270 221 135 Request for oral hearing			
0UDTOTAL (1) (1) 055	138 1,510 138 1,510 Petition to institute a public use proceeding			
SUBTOTAL (1) (\$) 355	140 110 240 55 Petition to revive - unavoidable	i		
2. EXTRA CLAIM FEES Fee from	141 1,240 241 620 Petition to revive - unintentional			
Extra Claims below Fee Paid	142 1,240 242 620 Utility issue fee (or reissue)			
Total Claims 47 -20** = 27 × 9 = 243	143 440 243 220 Design issue fee			
Claims 4 - 3 - 1 × 40 = 40	144 600 244 300 Plant issue fee			
Multiple Dependent	122 130 122 130 Petitions to the Commissioner			
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Large Entity Small Entity Fee Fee Fee Fee Description	126 180 126 180 Submission of Information Disclosure Stmt			
Code (\$) Code (\$)  103 18 203 9 Claims in excess of 20	581 40 581 40 Recording each patent assignment per property (times number of properties)	40		
102 80 202 40 Independent claims in excess of 3	146 710 246 355 Filing a submission after final rejection	i l		
104 270 204 135 Multiple dependent claim, if not paid	(37 CFR § 1.129(a))			
109 80 209 40 ** Reissue independent claims over original patent	149 710 249 355 For each additional invention to be examined (37 CFR § 1.129(b))			
110 18 210 9 ** Reissue claims in excess of 20	179 710 279 355 Request for Continued Examination (RCE)			
and over original patent	169 900 169 900 Request for expedited examination of a design application			
SUBTOTAL (2) (\$) 283	Other fee (specify)			
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*for number previously paid, if greater; For Reissues, see above	*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$)	40		

SUBMITTED BY Complete (if applicable)						
Name (Print/Type)	N. Stephan Kiasella	Registration No. (Attorney/Agent)	37,657	Telephone	281-313-1800	- 1
Signature	4. A Kingelt			Date	5/15/01	

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